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| Guidelines PEFC Council Minimum Requirements Checklist | Revised on 26 th May 2011 | GL 2/2011 |
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PEFC Council Minimum Requirements Checklist

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OBJECTIVE

The objectives of this guideline are (i) to assist bodies, which develop or revise their forest certification schemes and preparation of an application for PEFC Council endorsement, and (ii) to facilitate the assessment of the compliance of a national or sub-national forest certification scheme against the PEFC Council requirements carried out by the PEFC Council as a part of its endorsement and mutual recognition process (*Annex 7 Endorsement and Mutual Recognition of National Schemes and their Revision*).

SCOPE

These guidelines cover the PEFC Council minimum requirements, which shall be met by national and sub-national schemes and standards applying for PEFC Council endorsement and mutual recognition as per chapter 4, Annex 7 (*Endorsement and Mutual Recognition of National Schemes and their Revision*), and are a part of the application for the PEFC Council endorsement and mutual recognition as defined by chapter 5, Annex 7 (*Endorsement and Mutual Recognition of National Schemes and their Revision*).

These guidelines were adopted by the PEFC Council Board of Directors on 2 April 2003 and revised on 27 January 2005, 28 April 2005, 26 January 2006 26 January 2007, 31 January 2008 4 February 2010 and 26 May 2011.

PART I: MINIMUM REQUIREMENTS CHECKLIST FOR STANDARD SETTING (PEFC ST 1001:2010)

1 SCOPE

Part I covers the requirements for standard setting defined in PEFC ST 1001:2010, *Standard Setting – Requirements*.

2 CHECKLIST

| Question | Assess. basis* | YES /NO* | Reference to application documents |
|--|----------------|----------|---|
| Standardising Body | | | |
| 4.1 The standardising body shall have written procedures for standard-setting activities describing: | | | |
| a) its status and structure, including a body responsible for consensus building (see 4.4) and for formal adoption of the standard (see 5.11), | Procedures | Yes | Articles of Association of PEFC NL and PCSN V |
| b) the record-keeping procedures, | Procedures | yes | PCSN V |
| c) the procedures for balanced representation of stakeholders, | Procedures | yes | PCSN V chapter 3, 4 and 5 |
| d) the standard-setting process, | Procedures | yes | PCSN V chapter 6 |
| e) the mechanism for reaching consensus, and | Procedures | yes | PCSN V 5.2 |
| f) revision of standards/normative documents. | Procedures | yes | PCSN V chapter 7 |
| 4.2 The standardising body shall make its standard-setting procedures publicly available and shall regularly review its standard-setting procedures including consideration of comments from stakeholders. | Procedures | yes /no | PCSN V 8.1, review of standard setting procedures was not a demand in GL2/2008 on which procedures are based |
| | Process | yes | http://www.pefcnederland.nl/nederlandse-bos-standaard |
| 4.3 The standardising body shall keep records relating to the standard-setting process providing evidence of compliance with the requirements of this document and the standardising body's own procedures. The records shall be kept for a minimum of five years and shall be available to interested parties upon request. | Procedures | no | PCSN V 8.1 Record keeping requirement was not a demand in GL2/2008 |
| | Process | yes | Records at PEFC NL office |

| Question | Assess. basis* | YES /NO* | Reference to application documents |
|--|----------------|----------|---|
| 4.4 The standardising body shall establish a permanent or temporary working group/committee responsible for standard-setting activities. | Procedures | yes | PCSN V chapter 3 |
| | Process | yes | http://www.pefcnederland.nl/nederlandse-bos-standaard |
| 4.4 The working group/committee shall: | | | |
| a) be accessible to materially and directly affected stakeholders, | Procedures | yes | PCSN V 3.2 |
| | Process | yes | list of invited organizations: http://www.pefcnederland.nl/nederlandse-bos-standaard |
| b) have balanced representation and decision-making by stakeholder categories relevant to the subject matter and geographical scope of the standard where single concerned interests shall not dominate nor be dominated in the process, and | Procedures | yes | PCSN chapter 4 |
| | Process | yes /no | All interest groups invited. NGO's refused participating in National PEFC Forum. Evidence of refusal in PEFC NL records |
| c) include stakeholders with expertise relevant to the subject matter of the standard, those that are materially affected by the standard, and those that can influence the implementation of the standard. The materially affected stakeholders shall represent a meaningful segment of the participants. | Procedures | yes | PCSN V 4.2 |
| | Process | yes | Most active input in process from materially affected stakeholders. See attendants to the different PEFC Forum meetings |
| 4.5 The standardising body shall establish procedures for dealing with any substantive and procedural complaints relating to the standardising activities which are accessible to stakeholders. | Procedures | yes | PCSN VII, PCSN V 9.1 |
| | Process | yes | College of Appeal established |
| 4.5 Upon receipt of the complaint, the standard-setting body shall: | | | |
| a) acknowledge receipt of the complaint to the complainant, | Procedures | yes | PCSN VII chapter 4 |
| | Process | no | no complaints received |
| b) gather and verify all necessary information to validate the complaint, impartially and objectively evaluate the subject matter of the complaint, and make a decision upon the complaint, and | Procedures | yes | PCSN VII chapter 6 |
| | Process | no | no complaints received |

| Question | Assess. basis* | YES /NO* | Reference to application documents |
|---|----------------|----------|--|
| c) formally communicate the decision on the complaint and of the complaint handling process to the complainant. | Procedures | yes | PCSN VII 6.9 |
| | Process | no | no complaints received |
| 4.6 The standardising body shall establish at least one contact point for enquiries and complaints relating to its standard-setting activities. The contact point shall be made easily available. | Procedures | no | Not a demand in GL2/2008. However PEFC NL office is commonly regarded as the contact point |
| Standard-setting process | | | |
| 5.1 The standardising body shall identify stakeholders relevant to the objectives and scope of the standard-setting work. | Procedures | yes | PCSN V chapter 3 |
| | Process | yes | List of invited parties: http://www.pefcnederland.nl/nederlandse-bos-standaard |
| 5.2 The standardising body shall identify disadvantaged and key stakeholders. The standardising body shall address the constraints of their participation and proactively seek their participation and contribution in the standard-setting activities. | Procedures | yes | PCSN V chapter 3. Disadvantaged stakeholders not relevant for NL |
| | Process | yes | http://www.pefcnederland.nl/nederlandse-bos-standaard |
| 5.3 The standardising body shall make a public announcement of the start of the standard-setting process and include an invitation for participation in a timely manner on its website and in suitable media as appropriate to afford stakeholders an opportunity for meaningful contributions. | Procedures | yes | PCSN V 3.3 |
| | Process | yes | http://www.pefcnederland.nl/output/nieuwsbriefMrt09.html |
| 5.3 The announcement and invitation shall include: | | | |
| a) information about the objectives, scope and the steps of the standard-setting process and its timetable, | Procedures | no | Not in place at time of invitation. Not in GL2/2008 |
| | Process | yes | Invitation letters National PEFC Forum (051-09). Presentation at start-meeting |
| b) information about opportunities for stakeholders to participate in the process, | Procedures | no | Not in place at time of invitation. Not in GL2/2008 |

| Question | Assess. basis* | YES /NO* | Reference to application documents |
|--|----------------|----------|--|
| | Process | yes | Invitation letters National PEFC Forum (051-09) |
| (c) an invitation to stakeholders to nominate their representative(s) to the working group/committee. The invitation to disadvantaged and key stakeholders shall be made in a manner that ensures that the information reaches intended recipients and in a format that is understandable, | Procedures | yes | PCSN V 3.2, Disadvantaged stakeholders not relevant in NL |
| | Process | yes | Invitation letters National PEFC Forum (051-09) |
| d) an invitation to comment on the scope and the standard-setting process, and | Procedures | no | Not in place at time of invitation. Not in GL2/2008 |
| | Process | yes | Standard setting procedures were discussed in PEFC Forum meeting 10-9- 2009 |
| e) reference to publicly available standard-setting procedures. | Procedures | no | Not in place at time of invitation. Not in GL2/2008 |
| | Process | yes | available on website: List of invited parties: http://www.pefcnederland.nl/nederlandse-bos-standaard |
| 5.4 The standardising body shall review the standard-setting process based on comments received from the public announcement and establish a working group/committee or adjust the composition of an already existing working group/committee based on received nominations. The acceptance and refusal of nominations shall be justifiable in relation to the requirements for balanced representation of the working group/committee and resources available for the standard-setting. | Procedures | no | Not in place at time of invitation. Not in GL2/2008 |
| | Process | NR | no comments received, no nominations received |
| 5.5 The work of the working group/committee shall be organised in an open and transparent manner where: | | | |
| a) working drafts shall be available to all members of the working group/committee, | Procedures | no | Not in place at time of invitation. Not in GL2/2008 |
| | Process | yes | drafts supplied with agenda's of Forum |

| Question | Assess. basis* | YES /NO* | Reference to application documents |
|---|----------------|----------|--|
| | | | meetings |
| b) all members of the working group shall be provided with meaningful opportunities to contribute to the development or revision of the standard and submit comments to the working drafts, and | Procedures | no | Not in place at time of invitation. Not in GL2/2008 |
| | Process | yes | every member invited to meetings. Several opportunities to comment working drafts |
| c) comments and views submitted by any member of the working group/committee shall be considered in an open and transparent way and their resolution and proposed changes shall be recorded. | Procedures | no | Not in place at time of invitation. Not in GL2/2008 |
| | Process | yes | applied in practice. Comments have been communicated to all participants. Recorded in minutes, agenda items or in draft standards |
| 5.6 The standardising body shall organise a public consultation on the enquiry draft and shall ensure that: | | | |
| a) the start and the end of the public consultation is announced in a timely manner in suitable media, | Procedures | yes | PCSN V 6.3 |
| | Process | yes | Letter to key stakeholders (167-10) and on website and newsletter: http://www.pefcnederland.nl/output/nieuwsbriefApr10.html |
| b) the invitation of disadvantaged and key stakeholders shall be made by means that ensure that the information reaches its recipient and is understandable, | Procedures | no | Not in GL2/2008 |
| | Process | yes | Letter (167-10 Disadvantaged stakeholders not relevant |
| c) the enquiry draft is publicly available and accessible, | Procedures | yes | PCSN V 6.3 |
| | Process | yes | website and newsletter: http://www.pefcnederland.nl/output/nieuwsbriefApr10.html |

| Question | Assess. basis* | YES /NO* | Reference to application documents |
|--|----------------|----------|---|
| d) the public consultation is for at least 60 days, | Procedures | yes | PCSN V 6.3 |
| | Process | yes | 12 April to 11 June |
| e) all comments received are considered by the working group/committee in an objective manner, | Procedures | yes | PCSN V 6.4 |
| | Process | yes | Comments Public Consultation plus reaction LPF.xls |
| (f) a synopsis of received comments compiled from material issues, including the results of their consideration, is publicly available, for example on a website. | Procedures | yes | PCSN V 6.5 |
| | Process | yes | Comments Public Consultation plus reaction LPF.xls via newsletter: http://www.pefcnederland.nl/output/nieuwsbriefJan11.html |
| 5.7 The standardising body shall organise pilot testing of the new standards and the results of the pilot testing shall be considered by the working group/committee. | Procedures | yes | PCSN V 6.6 |
| | Process | yes | Pilot reports |
| 5.8 The decision of the working group to recommend the final draft for formal approval shall be taken on the basis of a consensus. | Procedures | yes | PCSN V 5.2 |
| | Process | yes | written approval of Forum members |
| 5.8 In order to reach a consensus the working group/committee can utilise the following alternative processes to establish whether there is opposition: | | | |
| a) a face-to face meeting where there is a verbal yes/no vote, show of hands for a yes/no vote; a statement on consensus from the Chair where there are no dissenting voices or hands (votes); a formal balloting process, etc., | Procedures | yes | PCSN V 5.2 |
| | Process | yes | meeting minutes |
| b) a telephone conference meeting where there is a verbal yes/no vote, | Procedures | yes | PCSN V 5.2 |
| | Process | no | not used |
| c) an e-mail meeting where a request for agreement or objection is provided to members with the members providing a written response (a proxy for a vote), or | Procedures | yes | PCSN V 5.2 |
| | Process | yes | several e-mail consultations with Forum members |
| d) combinations thereof. | Procedures | yes | PCSN V 5.2 |

| Question | Assess. basis* | YES /NO* | Reference to application documents |
|---|----------------|----------|---|
| | Process | | |
| 5.9 In the case of a negative vote which represents sustained opposition to any important part of the concerned interests surrounding a substantive issue, the issue shall be resolved using the following mechanism(s): | | | |
| a) discussion and negotiation on the disputed issue within the working group/committee in order to find a compromise, | Procedures | yes | PCSN V 5.2 |
| | Process | yes | discussions recorded in minutes |
| b) direct negotiation between the stakeholder(s) submitting the objection and stakeholders with different views on the disputed issue in order to find a compromise, | Procedures | yes | PCSN V 5.2 |
| | Process | yes | recorded in minutes |
| c) dispute resolution process. | Procedures | yes | PCSN V 5.2 |
| | Process | no | not needed |
| 5.10 Documentation on the implementation of the standard-setting process shall be made publicly available. | Procedures | yes | PCSN V 8.1 |
| | Process | yes | http://www.pefcnederland.nl/landelijk-forum |
| 5.11 The standardising body shall formally approve the standards/normative documents based on evidence of consensus reached by the working group/committee. | Procedures | yes | PCSN V 6.7 |
| | Process | yes | Approved in PEFC NL General Assembly 24-11-2011 |
| 5.12 The formally approved standards/normative documents shall be published in a timely manner and made publicly available. | Procedures | yes | PCSN V 8.1 |
| | Process | yes | http://www.pefcnederland.nl/landelijk-forum |
| Revisions of standards/normative documents | | | |
| 6.1 The standards/normative documents shall be reviewed and revised at intervals that do not exceed a five-year period. The procedures for the revision of the standards/normative documents shall follow those set out in chapter 5. | Process | yes | PCSN V 7.1 |
| 6.2 The revision shall define the application date and transition date of the revised standards/normative documents. | Process | no | Not relevant, first application |
| 6.3 The application date shall not exceed a period of one year from the publication of the standard. This is needed for | Process | no | Not relevant, first application |

| Question | Assess. basis* | YES /NO* | Reference to application documents |
|---|----------------|----------|------------------------------------|
| the endorsement of the revised standards/normative documents, introducing the changes, information dissemination and training. | | | |
| 6.4 The transition date shall not exceed a period of one year except in justified exceptional circumstances where the implementation of the revised standards/normative documents requires a longer period. | Process | no | Not relevant, first application |

3 APPLICATION DOCUMENTATION

The application for the endorsement and mutual recognition as defined in Chapter 5 of Annex 7 (*Endorsement and Mutual Recognition of National Schemes and their Revision*) shall include information which enables the assessment of the applicant scheme's compliance with the PEFC Council requirements.

The application documentation should identify and make reference to other detailed documentation such as minutes, internal procedures and rules, reports, etc. which do not need to create a part of the application documentation.

Asses. basis* The standard setting is assessed against the PEFC Council requirements in two stages: (i) compliance of written standard setting procedures ("Procedures") and (ii) compliance of the standard setting process itself ("Process").

For "Procedures" the applicant should refer to the part(s) of its standard setting procedures related to the respective PEFC requirement. For "Process" the applicant should either refer to the report/records of the standard setting process forming a part of the submitted application documents, or describe how the PEFC requirement was fulfilled during the standard setting process.

YES/NO* If the answer to any question is no, the application documentation shall indicate for each element why and what alternative measures have been taken to address the element in question.

PART II: MINIMUM REQUIREMENTS CHECKLIST FOR GROUP FOREST MANAGEMENT CERTIFICATION (PEFC ST 1002:2010)

1 SCOPE

Part II covers requirements for group forest management certification as defined in PEFC ST 1002:2010, *Group Forest Management Certification – Requirements*.

2 CHECKLIST

| Question | YES / NO* | Reference to scheme documentation |
|---|-----------|---|
| General | | |
| 4.1 Does the forest certification scheme provide clear definitions for the following terms in conformity with the definitions of those terms presented in chapter 3 of PEFC ST 1002:2010: | | |
| a) the group organisation, | yes | PCSN VIII 5.1 “Applicant”, PCSN II 4.1 |
| b) the group entity, | yes | PCSN II 4.1.1. |
| c) the participant, | yes | PCSN VIII 5.1 “Participant in group certification” |
| d) the certified area, | yes | PCSN VIII 5.1 “Certified forest” |
| e) the group forest certificate, and | yes | PCSN II 4.1.5 |
| f) the document confirming participation in group forest certification. | yes | PCSN II 4.1.3 i) |
| 4.1.2 In cases where a forest certification scheme allows an individual forest owner to be covered by additional group or individual forest management certifications, the scheme shall ensure that non-conformity by the forest owner identified under one forest management certification scheme is addressed in any other forest management certification scheme that covers the forest owner. | no | Not a requirement at the time of adoption of PCSN II by the National PEFC Forum according to GL2/2008 |
| 4.1.3 The forest certification scheme shall define requirements for group forest certification which ensure that participants’ conformity with the sustainable forest management standard is centrally administered and is subject to central review and that all participants shall be subject to the internal monitoring programme. | yes | PCSN II 4.1.3 |
| 4.1.4 The forest certification scheme shall define requirements for an annual internal monitoring programme that provides sufficient confidence in the conformity of the whole group organisation with the sustainable forest management standard. | yes | PCSN II 4.1.3 h) |
| Functions and responsibilities of the group entity | | |
| 4.2.1 The forest certification scheme shall define the following requirements for the function and | | |

| Question | YES / NO* | Reference to scheme documentation |
|--|-----------|--|
| responsibility of the group entity: | | |
| a) To represent the group organisation in the certification process, including in communications and relationships with the certification body, submission of an application for certification, and contractual relationship with the certification body; | yes | PCSN II 4.1.3 |
| b) To provide a commitment on behalf of the whole group organisation to comply with the sustainable forest management standard and other applicable requirements of the forest certification scheme; | yes | PCSN II 4.1.4 |
| c) To establish written procedures for the management of the group organisation; | yes | PCSN II 4.1.2 |
| d) To keep records of: <ul style="list-style-type: none"> - the group entity and participants' conformity with the requirements of the sustainable forest management standard, and other applicable requirements of the forest certification scheme, - all participants, including their contact details, identification of their forest property and its/their size(s), - the certified area, - the implementation of an internal monitoring programme, its review and any preventive and/or corrective actions taken; | yes | PCSN II 4.1.2, PCSN II 4.1.3 g) |
| e) To establish connections with all participants based on a written agreement which shall include the participants' commitment to comply with the sustainable forest management standard. The group entity shall have a written contract or other written agreement with all participants covering the right of the group entity to implement and enforce any corrective or preventive measures, and to initiate the exclusion of any participant from the scope of certification in the event of non-conformity with the sustainable forest management standard; | yes | PCSN II 4.1.3 e), PCSN II 4.1.4 |
| f) To provide participants with a document confirming participation in the group forest certification; | yes | PCSN II 4.1.3 i) |
| g) To provide all participants with information and guidance required for the effective implementation of the sustainable forest management standard and other applicable requirements of the forest certification scheme; | yes | PCSN II 4.1.3 d) |
| h) To operate an annual internal monitoring programme that provides for the evaluation of the participants' conformity with the certification requirements, and; | yes | PCSN II 4.1.3 h) |
| i) To operate a review of conformity with the sustainable forest management standard, that includes reviewing the | yes | PCSN II 4.1.3 f), not specified according to this requirement. Not |

| Question | YES / NO* | Reference to scheme documentation |
|---|-----------|--|
| results of the internal monitoring programme and the certification body's evaluations and surveillance; corrective and preventive measures if required; and the evaluation of the effectiveness of corrective actions taken. | | required at the time of development of PCSN II according to GL2/2008 |
| Function and responsibilities of participants | | |
| 4.3.1 The forest certification scheme shall define the following requirements for the participants: | | |
| a) To provide the group entity with a written agreement, including a commitment on conformity with the sustainable forest management standard and other applicable requirements of the forest certification scheme; | yes | PCSN II 4.1.4 c), PCSN II 4.1.6 |
| b) To comply with the sustainable forest management standard and other applicable requirements of the forest certification scheme; | yes | PCSN II 4.1.4 c) |
| c) To provide full co-operation and assistance in responding effectively to all requests from the group entity or certification body for relevant data, documentation or other information; allowing access to the forest and other facilities, whether in connection with formal audits or reviews or otherwise; | yes | PCSN II 4.1.4 g), 4.1.6 |
| d) To implement relevant corrective and preventive actions established by the group entity. | yes | PCSN II 4.1.4 d) |

PART III: MINIMUM REQUIREMENTS CHECKLIST FOR SUSTAINABLE FOREST MANAGEMENT (PEFC ST 1003:2010)

1 SCOPE

Part III covers requirements for sustainable forest management as defined in PEFC ST 1003:2010, *Sustainable Forest Management – Requirements*.

2 CHECKLIST

| Question | YES / NO* | Reference to scheme documentation |
|--|-----------|---|
| General requirements for SFM standards | | |
| 4.1 The requirements for sustainable forest management defined by regional, national or sub-national forest management standards shall | | |
| a) include management and performance requirements that are applicable at the forest management unit level, or at another level as appropriate, to ensure that the intent of all requirements is achieved at the forest management unit level. | yes | PCSN I |
| b) be clear, objective-based and auditable. | yes | PCSN I, report pilot test |
| c) apply to activities of all operators in the defined forest area who have a measurable impact on achieving compliance with the requirements. | yes | PCSN I Forest owners, managers, personnel and (sub)contractors. |
| d) require record-keeping that provides evidence of compliance with the requirements of the forest management standards. | yes | PCSN I criterion 1.2 management plan, 1.3 management records |
| Specific requirements for SFM standards | | |
| Criterion 1: Maintenance and appropriate enhancement of forest resources and their contribution to the global carbon cycle | | |
| 5.1.1 Forest management planning shall aim to maintain or increase forests and other wooded areas and enhance the quality of the economic, ecological, cultural and social values of forest resources, including soil and water. This shall be done by making full use of related services and tools that support land-use planning and nature conservation. | yes | This is the overall result of implementing PCSN I |
| 5.1.2 Forest management shall comprise the cycle of inventory and planning, implementation, monitoring and evaluation, and shall include an appropriate assessment of the social, environmental and economic impacts of forest management operations. This shall form a basis for a cycle of continuous improvement to minimise or avoid negative impacts. | yes | PCSN I, Guideline 1 |
| 5.1.3 Inventory and mapping of forest resources shall be established and maintained, adequate to local and national conditions and in correspondence with the topics described in this document. | yes | PCSN I Guideline 1, point 6 At national level there is the five year "Meetnet Functie Vervulling" (MFV), PCSN I 4.10 |

| Question | YES / NO* | Reference to scheme documentation |
|---|-----------|---|
| 5.1.4 Management plans or their equivalents, appropriate to the size and use of the forest area, shall be elaborated and periodically updated. They shall be based on legislation as well as existing land-use plans, and adequately cover the forest resources. | yes | PCSN I criterion 1.2, Guideline 1 |
| 5.1.5 Management plans or their equivalents shall include at least a description of the current condition of the forest management unit, long-term objectives; and the average annual allowable cut, including its justification and, where relevant, the annually allowable exploitation of non-timber forest products. | yes | PCSN I Guideline 1 point 1, point 2 |
| 5.1.6 A summary of the forest management plan or its equivalent appropriate to the scope and scale of forest management, which contains information about the forest management measures to be applied, is publicly available. The summary may exclude confidential business and personal information and other information made confidential by national legislation or for the protection of cultural sites or sensitive natural resource features. | yes | PCSN I criterion 6.5 |
| 5.1.7 Monitoring of forest resources and evaluation of their management shall be periodically performed, and results fed back into the planning process. | yes | PCSN I Guideline 1 point 6 |
| 5.1.8 Responsibilities for sustainable forest management shall be clearly defined and assigned. | yes | forest owner is responsible, forest manager secondary (PCSN II 4.1.6) |
| 5.1.9 Forest management practices shall safeguard the quantity and quality of the forest resources in the medium and long term by balancing harvesting and growth rates, and by preferring techniques that minimise direct or indirect damage to forest, soil or water resources. | yes | PCSN I criterion 1.4, 1.5, 2.3, 2.4, , 4.5, 4.10, 5.2 |
| 5.1.10 Appropriate silvicultural measures shall be taken to maintain or reach a level of the growing stock that is economically, ecologically and socially desirable. | yes | PCSN I criterion 1.5 |
| <p>5.1.11 Conversion of forests to other types of land use, including conversion of primary forests to forest plantations, shall not occur unless in justified circumstances where the conversion:</p> <ul style="list-style-type: none"> a) is in compliance with national and regional policy and legislation relevant for land use and forest management and is a result of national or regional land-use planning governed by a governmental or other official authority including consultation with materially and directly interested persons and organisations; and b) entails a small proportion of forest type; and c) does not have negative impacts on threatened (including vulnerable, rare or endangered) forest ecosystems, culturally and socially significant areas, important habitats of threatened species or other protected areas; and d) makes a contribution to long-term conservation, | yes | Conversion is not allowed PCSN I Criterion 1.4. In some cases Dutch Forest Law allows for conversion when area is being compensated. Some Forest Management organisations have an exemption from this "replanting duty". In case no compensation planting was done the timber from conversion cannot be sold as PEFC Certified. |

| Question | YES / NO* | Reference to scheme documentation |
|---|-----------|---|
| economic, and social benefits. | | |
| 5.1.12 Conversion of abandoned agricultural and treeless land into forest land shall be taken into consideration, whenever it can add economic, ecological, social and/or cultural value. | No | It was decided in the PEFC Forum that this requirement is not relevant to Dutch context. This consideration is beyond the scope of Dutch forest owners. Can only add value when subsidized by Dutch government. At this time no subsidy for reforestation |
| 5.2.1 Forest management planning shall aim to maintain and increase the health and vitality of forest ecosystems and to rehabilitate degraded forest ecosystems, whenever this is possible by silvicultural means. | yes | PCSN I Principle 2, PCSN I criterion 4.11 |
| Criterion 2: Maintenance of forest ecosystem health and vitality | | |
| 5.2.2 Health and vitality of forests shall be periodically monitored, especially key biotic and abiotic factors that potentially affect health and vitality of forest ecosystems, such as pests, diseases, overgrazing and overstocking, fire, and damage caused by climatic factors, air pollutants or by forest management operations. | yes | PCSN I Guideline 1 point 1 d), point 6. Monitoring on national level every 5 years (MFV) |
| 5.2.3 The monitoring and maintaining of health and vitality of forest ecosystems shall take into consideration the effects of naturally occurring fire, pests and other disturbances. | yes | PCSN I Guideline 1 point 1 d) |
| 5.2.4 Forest management plans or their equivalents shall specify ways and means to minimise the risk of degradation of and damages to forest ecosystems. Forest management planning shall make use of those policy instruments set up to support these activities. | yes | PCSN I Criterion 4.10. This code of practise is an obligations to all operations carried out in Dutch Forests. It is a practise that allows for operations according to the Flora and Fauna act. PCSN I guideline 1 point 3 |
| 5.2.5 Forest management practices shall make best use of natural structures and processes and use preventive biological measures wherever and as far as economically feasible to maintain and enhance the health and vitality of forests. Adequate genetic, species and structural diversity shall be encouraged and/or maintained to enhance the stability, vitality and resistance capacity of the forests to adverse environmental factors and strengthen natural regulation mechanisms. | yes | PCSN I criterion 3.4, Principle 4, criterion 4.1, 4.2, 4.3, 4.4 |
| 5.2.6 Lighting of fires shall be avoided and is only permitted if it is necessary for the achievement of the management goals of the forest management unit. | no | Not relevant in Dutch forest. |
| 5.2.7 Appropriate forest management practices such as reforestation and afforestation with tree species and provenances that are suited to the site conditions or the use of tending, harvesting and transport techniques that minimise tree and/or soil damages shall be applied. The spillage of oil during forest management operations or the indiscriminate disposal of waste on forest land shall be strictly avoided. | yes | PCSN I criterion 2.4, 3.4, 4.10, 5.5, 6.2, Wet milieubeheer |

| Question | YES / NO* | Reference to scheme documentation |
|---|-----------|--|
| Non-organic waste and litter shall be avoided, collected, stored in designated areas and removed in an environmentally-responsible manner. | | |
| 5.2.8 The use of pesticides shall be minimised and appropriate silvicultural alternatives and other biological measures preferred. | yes | PCSN I criterion 2.1 |
| 5.2.9 The WHO Type 1A and 1B pesticides and other highly toxic pesticides shall be prohibited, except where no other viable alternative is available. | yes | Forbidden under Dutch law. Wet gewasbeschermingsmiddelen en biociden. PCSN 1 criterion 2.1 e) |
| 5.2.10 Pesticides, such as chlorinated hydrocarbons whose derivatives remain biologically active and accumulate in the food chain beyond their intended use, and any pesticides banned by international agreement, shall be prohibited. | yes | PCSN I criterion 2.1 e) |
| 5.2.11 The use of pesticides shall follow the instructions given by the pesticide producer and be implemented with proper equipment and training. | yes | PCSN I criterion 2.1 c), Wet gewasbeschermingsmiddelen en biociden |
| 5.2.12 Where fertilisers are used, they shall be applied in a controlled manner and with due consideration for the environment. | yes | PCSN I criterion 2.2 |
| Criterion 3: Maintenance and encouragement of productive functions of forests (wood and non-wood) | | |
| 5.3.1 Forest management planning shall aim to maintain the capability of forests to produce a range of wood and non-wood forest products and services on a sustainable basis. | yes | PCSN I Guideline 1 point 2 a), c), Criterion 3.1 |
| 5.3.2 Forest management planning shall aim to achieve sound economic performance taking into account any available market studies and possibilities for new markets and economic activities in connection with all relevant goods and services of forests. | yes | PCSN I Guideline 1 point 2 a), c), Criterion 3.1. Forest management is in general not profitable. With the help of subsidies small owner can aim to break even |
| 5.3.3 Forest management plans or their equivalents shall take into account the different uses or functions of the managed forest area. Forest management planning shall make use of those policy instruments set up to support the production of commercial and non-commercial forest goods and services. | yes | PCSN I Guideline 1 point 2, criterion 3.1 |
| 5.3.4 Forest management practices shall maintain and improve the forest resources and encourage a diversified output of goods and services over the long term. | yes | PCSN I Guideline 1 point 2, Criterion 1.3, 1.4, 3.1, 4.5 |
| 5.3.5 Regeneration, tending and harvesting operations shall be carried out in time, and in a way that does not reduce the productive capacity of the site, for example by avoiding damage to retained stands and trees as well as to the forest soil, and by using appropriate systems. | yes | PCSN I criterion 2.3, 2.4, 3.4, 4.10, Principle 5 |
| 5.3.6 Harvesting levels of both wood and non-wood forest products shall not exceed a rate that can be sustained in the long term, and optimum use shall be made of the harvested forest products, with due regard to nutrient off-take. | yes | PCSN I criterion 1.4, 3.2, 3.3, Guideline 1 point 2 |

| Question | YES / NO* | Reference to scheme documentation |
|--|-----------|---|
| 5.3.7 Where it is the responsibility of the forest owner/manager and included in forest management, the exploitation of non-timber forest products, including hunting and fishing, shall be regulated, monitored and controlled. | No | Not relevant. Hunting is regulated by "Fauna Beheer Eenheid" |
| 5.3.8 Adequate infrastructure such as roads, skid tracks or bridges shall be planned, established and maintained to ensure efficient delivery of goods and services while minimising negative impacts on the environment. | yes | PCSN I Criterion 2.4 |
| Criterion 4: Maintenance, conservation and appropriate enhancement of biological diversity in forest ecosystems | | |
| 5.4.1 Forest management planning shall aim to maintain, conserve and enhance biodiversity on ecosystem, species and genetic levels and, where appropriate, diversity at landscape level. | yes | PCSN I Principle 4, Guideline 1 point 2 a), b), e) |
| <p>5.4.2 Forest management planning, inventory and mapping of forest resources shall identify, protect and/or conserve ecologically important forest areas containing significant concentrations of:</p> <p>a) protected, rare, sensitive or representative forest ecosystems such as riparian areas and wetland biotopes;</p> <p>b) areas containing endemic species and habitats of threatened species, as defined in recognised reference lists;</p> <p>c) endangered or protected genetic <i>in situ</i> resources;</p> <p>and taking into account</p> <p>d) globally, regionally and nationally significant large landscape areas with natural distribution and abundance of naturally occurring species.</p> | yes | PCSN I Guideline 1 point 1, point 5 |
| 5.4.3 Protected and endangered plant and animal species shall not be exploited for commercial purposes. Where necessary, measures shall be taken for their protection and, where relevant, to increase their population. | yes | Protected by Dutch Law, Flora en Fauna Wet. PCSN I criterion 4.4, 4.6, 4.11 |
| 5.4.4 Forest management shall ensure successful regeneration through natural regeneration or, where not appropriate, planting that is adequate to ensure the quantity and quality of the forest resources. | yes | PCSN I criterion 3.4 |
| 5.4.5 For reforestation and afforestation, origins of native species and local provenances that are well-adapted to site conditions shall be preferred, where appropriate. Only those introduced species, provenances or varieties shall be used whose impacts on the ecosystem and on the genetic integrity of native species and local provenances have been evaluated, and if negative impacts can be avoided or minimised. | yes | PCSN I criterion 3.4, 4.1, 4.4 |

| Question | YES / NO* | Reference to scheme documentation |
|---|-----------|--|
| 5.4.6 Afforestation and reforestation activities that contribute to the improvement and restoration of ecological connectivity shall be promoted. | yes | Outside the influence of forest owner. Though cooperation shall be given PCSN I criterion 4.11 |
| 5.4.7 Genetically-modified trees shall not be used. | yes | PCSN I criterion 3.4 |
| 5.4.8 Forest management practices shall, where appropriate, promote a diversity of both horizontal and vertical structures such as uneven-aged stands and the diversity of species such as mixed stands. Where appropriate, the practices shall also aim to maintain and restore landscape diversity. | yes | PCSN I Principle 4, criterion 4.1, 4.2 |
| 5.4.9 Traditional management systems that have created valuable ecosystems, such as coppice, on appropriate sites shall be supported, when economically feasible. | no | regulated through National subsidies. They are referred to in the "Natuurtypen SNL" as stated in PCSN I Guideline 1 point 2 b) |
| 5.4.10 Tending and harvesting operations shall be conducted in a way that does not cause lasting damage to ecosystems. Wherever possible, practical measures shall be taken to improve or maintain biological diversity. | yes | PCSN I criterion 2.3, Guideline 1 point 2 e) |
| 5.4.11 Infrastructure shall be planned and constructed in a way that minimises damage to ecosystems, especially to rare, sensitive or representative ecosystems and genetic reserves, and that takes threatened or other key species – in particular their migration patterns – into consideration. | yes | PCSN I criterion 2.4 |
| 5.4.12 With due regard to management objectives, measures shall be taken to balance the pressure of animal populations and grazing on forest regeneration and growth as well as on biodiversity. | yes | PCSN I criterion 4.8, 4.9 |
| 5.4.13 Standing and fallen dead wood, hollow trees, old groves and special rare tree species shall be left in quantities and distribution necessary to safeguard biological diversity, taking into account the potential effect on the health and stability of forests and on surrounding ecosystems. | yes | PCSN I criterion 4.3, 4.7 |
| Criterion 5: Maintenance and appropriate enhancement of protective functions in forest management (notably soil and water) | | |
| 5.5.1 Forest management planning shall aim to maintain and enhance protective functions of forests for society, such as protection of infrastructure, protection from soil erosion, protection of water resources and from adverse impacts of water such as floods or avalanches. | yes | PCSN I Principle 5 |
| 5.5.2 Areas that fulfil specific and recognised protective functions for society shall be registered and mapped, and forest management plans or their equivalents shall take these areas into account. | yes | The areas are designated as "Waterwingebied" or "Grondwaterbeschermingsgebied" and shall be managed accordingly. PCSN I criterion 1.1, 5.6, Appendix 2 |
| 5.5.3 Special care shall be given to silvicultural operations on sensitive soils and erosion-prone areas as well as in areas where operations might lead to excessive erosion of soil into watercourses. Inappropriate techniques such as deep soil | yes | PCSN I criterion 2.4, 5.1, 5.2, 5.4, 4.9 |

| Question | YES / NO* | Reference to scheme documentation |
|--|-----------|--|
| tillage and use of unsuitable machinery shall be avoided in such areas. Special measures shall be taken to minimise the pressure of animal populations. | | |
| 5.5.4 Special care shall be given to forest management practices in forest areas with water protection functions to avoid adverse effects on the quality and quantity of water resources. Inappropriate use of chemicals or other harmful substances or inappropriate silvicultural practices influencing water quality in a harmful way shall be avoided. | yes | PCSN I criterion 5.2, 5.6, Appendix 2 appropriate laws |
| 5.5.5 Construction of roads, bridges and other infrastructure shall be carried out in a manner that minimises bare soil exposure, avoids the introduction of soil into watercourses and preserves the natural level and function of water courses and river beds. Proper road drainage facilities shall be installed and maintained. | yes | PCSN I criterion 2.4, 5.2 |
| Criterion 6: Maintenance of other socio-economic functions and conditions | | |
| 5.6.1 Forest management planning shall aim to respect the multiple functions of forests to society, give due regard to the role of forestry in rural development, and especially consider new opportunities for employment in connection with the socio-economic functions of forests. | yes | PCSN I Guideline 1 point 2 a) rural development and new opportunities for employment not relevant in NL |
| 5.6.2 Forest management shall promote the long-term health and well-being of communities within or adjacent to the forest management area. | no | Not relevant in NL. Community health and well being is provided by the government. PCSN I criterion 6.5 relates to this |
| 5.6.3 Property rights and land tenure arrangements shall be clearly defined, documented and established for the relevant forest area. Likewise, legal, customary and traditional rights related to the forest land shall be clarified, recognised and respected. | yes | PCSN I criterion 1.1, 6.7, Guideline 1 point 5 a) |
| 5.6.4 Forest management activities shall be conducted in recognition of the established framework of legal, customary and traditional rights such as outlined in ILO 169 and the UN Declaration on the Rights of Indigenous Peoples, which shall not be infringed upon without the free, prior and informed consent of the holders of the rights, including the provision of compensation where applicable. Where the extent of rights is not yet resolved or is in dispute there are processes for just and fair resolution. In such cases forest managers shall, in the interim, provide meaningful opportunities for parties to be engaged in forest management decisions whilst respecting the processes and roles and responsibilities laid out in the policies and laws where the certification takes place. | yes | PCSN I criterion 6.5, 6.6, 6.7 apply as far as relevant. There are no indigenous people in NL although some people/communities might have documented customary rights. |
| 5.6.5 Adequate public access to forests for the purpose of recreation shall be provided taking into account respect for ownership rights and the rights of others, the effects on forest resources and ecosystems, as well as compatibility with other functions of the forest. | yes | PCSN I criterion 6.8 |
| 5.6.6 Sites with recognised specific historical, cultural or spiritual significance and areas fundamental to meeting the | yes | PCSN I criterion 6.9, Guideline 1 |

| Question | YES / NO* | Reference to scheme documentation |
|--|-----------|--|
| basic needs of local communities (e.g. health, subsistence) shall be protected or managed in a way that takes due regard of the significance of the site. | | |
| 5.6.7 Forest management operations shall take into account all socio-economic functions, especially the recreational function and aesthetic values of forests by maintaining for example varied forest structures, and by encouraging attractive trees, groves and other features such as colours, flowers and fruits. This shall be done, however, in a way and to an extent that does not lead to serious negative effects on forest resources, and forest land. | yes | PCSN I criterion 4.1, 4.2, 4.3, 4.4, 4.7, Guideline 1 point 2 a), b) |
| 5.6.8 Forest managers, contractors, employees and forest owners shall be provided with sufficient information and encouraged to keep up-to-date through continuous training in relation to sustainable forest management as a precondition for all management planning and practices described in this standard. | yes | PCSN I criterion 6.1 |
| 5.6.9 Forest management practices shall make the best use of local forest-related experience and knowledge, such as those of local communities, forest owners, NGOs and local people. | yes | PCSN I criterion 6.5, 6.6 |
| 5.6.10 Forest management shall provide for effective communication and consultation with local people and other stakeholders relating to sustainable forest management and shall provide appropriate mechanisms for resolving complaints and disputes relating to forest management between forest operators and local people. | yes | PCSN I criterion 6.5 |
| 5.6.11 Forestry work shall be planned, organised and performed in a manner that enables health and accident risks to be identified and all reasonable measures to be applied to protect workers from work-related risks. Workers shall be informed about the risks involved with their work and about preventive measures. | yes | PCSN I criterion 6.2, 6.3 |
| 5.6.12 Working conditions shall be safe, and guidance and training in safe working practices shall be provided to all those assigned to a task in forest operations. | yes | PCSN I criterion 6.2, 6.3 |
| 5.6.13 Forest management shall comply with fundamental ILO conventions. | yes | NL is signatory country of ILO conventions. ILO conventions are put into practice through collective labour agreements: PCSN I criterion 6.4 |
| 5.6.14 Forest management shall be based inter-alia on the results of scientific research. Forest management shall contribute to research activities and data collection needed for sustainable forest management or support relevant research activities carried out by other organisations, as appropriate. | yes | PCSN I criterion 6.6 |
| Criterion 7: Maintenance and appropriate enhancement of protective functions in forest management (notably soil and water) | | |

| Question | YES / NO* | Reference to scheme documentation |
|--|-----------|--|
| 5.7.1 Forest management shall comply with legislation applicable to forest management issues including forest management practices; nature and environmental protection; protected and endangered species; property, tenure and land-use rights for indigenous people; health, labour and safety issues; and the payment of royalties and taxes. | yes | PCSN I criterion 1.1, Appendix 2 |
| 5.7.2 Forest management shall provide for adequate protection of the forest from unauthorised activities such as illegal logging, illegal land use, illegally initiated fires, and other illegal activities. | no | Forest is protected by Dutch Laws, Flora en Faunawet Art 8, 9, 10, 11, 12. |

* If the answer to any question is no, the application documentation shall indicate for each element why and what alternative measures have been taken to address the element in question.

PART IV: MINIMUM REQUIREMENTS CHECKLIST FOR CERTIFICATION AND ACCREDITATION PROCEDURES (ANNEX 6)

1 SCOPE

This document covers requirements for certification and accreditation procedures given in Annex 6 to the PEFC Council Technical Document (*Certification and accreditation procedures*).

2 CHECKLIST

| No. | Question | Reference to PEFC Council PROCEDURES | YES / NO* | Reference to scheme documentation |
|-----------------------------|--|--------------------------------------|-----------|---|
| Certification Bodies | | | | |
| 1. | Does the scheme documentation require that certification shall be carried out by impartial, independent third parties that cannot be involved in the standard setting process as governing or decision making body, or in the forest management and are independent of the certified entity? | Annex 6, 3.1 | yes | PCSN IV 3.2, 3.3 |
| 2. | Does the scheme documentation require that certification body for forest management certification or chain of custody certification against a scheme specific chain of custody standard shall fulfil requirements defined in ISO 17021 or ISO Guide 65? | Annex 6, 3.1 | yes | PCSN IV 3.2 1) no scheme specific CoC standard |
| 3. | Does the scheme documentation require that certification body chain of custody certification against Annex 4 shall fulfil requirements defined in ISO Guide 65? | Annex 6, 3.1 | no | current standard is PEFC ST 2002:2010 PCSN IV 3.3 |
| 4. | Does the scheme documentation require that certification bodies carrying out forest certification shall have the technical competence in forest management on its economic, social and environmental impacts, and on the forest certification criteria? | Annex 6, 3.1 | yes | PCSN IV 3.3 2), 3) |
| 5. | Does the scheme documentation require that certification bodies carrying out C-o-C certifications shall have technical competence in forest based products procurement and processing and material flows in different stages of processing and trading? | Annex 6, 3.1 | yes | PCSN IV 3.3 2) |
| 6. | Does the scheme documentation require that certification bodies shall have a good understanding of the national PEFC system against which they carry out forest management or C-o-C certifications? | Annex 6, 3.1 | yes | PCSN IV 3.2 3), 3.3 3) |

| No. | Question | Reference to PEFC Council PROCEDURES | YES / NO* | Reference to scheme documentation |
|---------------------------------|---|--------------------------------------|-----------|---|
| 7. | Does the scheme documentation require that certification bodies have the responsibility to use competent auditors and who have adequate technical know-how on the certification process and issues related to forest management or chain of custody certification? | Annex 6, 3.2 | yes | PCSN IV chapter 4 |
| 8. | Does the scheme documentation require that the auditors must fulfil the general criteria of ISO 19011 for Quality Management Systems auditors or for Environmental Management Systems auditors? | Annex 6, 3.2 | yes | PCSN IV 4.1 1), 4.2 1) |
| 9. | Does the scheme documentation include additional qualification requirements for auditors carrying out forest management or chain of custody audits? [^{*1}] | Annex 6, 3.2 | yes | PCSN IV 4.1, 4.2 |
| Certification procedures | | | | |
| 10. | Does the scheme documentation require that certification bodies shall have established internal procedures for forest management and/or chain of custody certification? | Annex 6, 4 | yes | PCSN IV 3.2 4), 3.3 4) |
| 11. | Does the scheme documentation require that applied certification procedures for forest management certification or chain of custody certification against a scheme specific chain of custody standard shall fulfil or be compatible with the requirements defined in ISO 17021 or ISO Guide 65? | Annex 6, 4 | yes | PCSN IV 3.2 4), no scheme specific CoC in NL |
| 12. | Does the scheme documentation require that applied certification procedures for chain of custody certification against Annex 4 shall fulfil or be compatible with the requirements defined in ISO Guide 65? | Annex 6, 4 | no | referred standard is PEFC ST 2002:2010 PCSN IV 3.3 4) |
| 13. | Does the scheme documentation require that applied auditing procedures shall fulfil or be compatible with the requirements of ISO 19011? | Annex 6, 4 | yes | PCSN IV 3.2 4), 3.3 4) |
| 14. | Does the scheme documentation require that certification body shall inform the relevant PEFC National Governing Body about all issued forest management and chain of custody certificates and changes concerning the validity and scope of these certificates? | Annex 6, 4 | yes | PCSN IV 5.3.5 |
| 15. | Does the scheme documentation require that certification body shall carry out controls of PEFC logo usage if the certified entity is a PEFC logo user? | Annex 6, 4 | yes | PCSN IV 5.2 |
| 16. | Does a maximum period for surveillance audits | Annex 6, 4 | yes | PCSN IV 5.3.3 |

| No. | Question | Reference to PEFC Council PROCEDURES | YES / NO* | Reference to scheme documentation |
|---------------------------------|--|--------------------------------------|-----------|---|
| | defined by the scheme documentation not exceed more than one year? | | | |
| 17 | Does a maximum period for assessment audit not exceed five years for both forest management and chain of custody certifications? | Annex 6, 4 | yes | PCSN IV 5.3.4 |
| 18 | Does the scheme documentation include requirements for public availability of certification report summaries? | Annex 6, 4 | yes | PCSN IV 5.2 |
| 19 | Does the scheme documentation include requirements for usage of information from external parties as the audit evidence? | Annex 6, 4 | yes | PCSN IV 5.2 |
| 20. | Does the scheme documentation include additional requirements for certification procedures? ^[*1] | Annex 6, 4 | yes | PCSN IV 3.2 5), 3.3 5) |
| Accreditation procedures | | | | |
| 21. | Does the scheme documentation require that certification bodies carrying out forest management and/or chain of custody certification shall be accredited by a national accreditation body? | Annex 6, 5 | yes | PCSN IV 3.1 |
| 22. | Does the scheme documentation require that an accredited certificate shall bear an accreditation symbol of the relevant accreditation body? | Annex 6, 5 | yes | PCSN IV 3.1 |
| 23. | Does the scheme documentation require that the accreditation shall be issued by an accreditation body which is a part of the International Accreditation Forum (IAF) umbrella or a member of IAF's special recognition regional groups and which implement procedures described in ISO 17011 and other documents recognised by the above mentioned organisations? | Annex 6, 5 | yes | PCSN IV 3.1 |
| 24. | Does the scheme documentation require that certification body undertake forest management or/and chain of custody certification against a scheme specific chain of custody standard as "accredited certification" based on ISO 17021 or ISO Guide 65 and the relevant forest management or chain of custody standard(s) shall be covered by the accreditation scope? | Annex 6, 5 | yes | PCSN IV 3.1, 3.2, 3.3 |
| 25. | Does the scheme documentation require that certification body undertake chain of custody certification against Annex 4 as "accredited certification" based on ISO Guide 65? | Annex 6, 5 | no | refers to PEFC ST 2002:2010 in PCSN IV 3.1, 3.3 |
| 26. | Does the scheme documentation include a | Annex 6, 6 | yes | PCSN IV 3.4 |

| No. | Question | Reference to PEFC Council PROCEDURES | YES / NO* | Reference to scheme documentation |
|-----|--|---|--------------|---|
| | mechanism for PEFC notification of certification bodies? | | | |
| 27. | Are the procedures for PEFC notification of certification bodies non-discriminatory? | Annex 6, 6 | yes | Guideline - Notification procedure PEFC Nederland.doc |

* If the answer to any question is no, the application documentation shall indicate for each element why and what alternative measures have been taken to address the element in question.

[*1] This is not an obligatory requirement

PART V: MINIMUM REQUIREMENTS CHECKLIST FOR SCHEME SPECIFIC CHAIN OF CUSTODY STANDARDS – COMPLIANCE WITH PEFC ST PEFC 2002:2010

1 SCOPE

Part V is used for the assessment of scheme specific chain of custody standards against PEFC ST 2002:2010 (*Chain of Custody of Forest Based Products - Requirements*).

On 16th November 2010 the PEFC General Assembly adopted PEFC ST 2002:2010 as revised PEFC Chain of Custody standard, replacing Annex 4 of the PEFC Technical Document (*Chain of Custody of Forest Based Products - Requirements*) after a one year transition period until 16th November 2011.

Until 16th November 2011, scheme specific chain of custody standards may be assessed against either of the standards. After 16th November 2011, scheme specific chain of custody standards will only be assessed for compliance with PEFC ST 2002:2010 (Part V).

2 CHECKLIST

| No. | Question | Reference to PEFC 2002:2010 | YES / NO* | Reference to application documents |
|---|---|-----------------------------|-----------|------------------------------------|
| Requirements for chain of custody process – physical separation method | | | | |
| 1. | Does the national C-o-C standard require identification of origin of certified material/products in compliance with chapter 4.2? | 4.2 | | |
| 2. | Does the national C-o-C standard require separation of the certified raw material in compliance with chapter 4.3? | 4.3 | | |
| 3. | Does the national C-o-C standard require information delivered to the customer at the point of sale of certified products in compliance with chapter 4.4? | 4.4 | | |
| 4. | Does the national standard require that usage of the logo or label shall be carried out according to the terms and conditions of the logo / label copyright owner? | 4.4.2 | | |
| Requirements for the chain of custody process – percentage based methods | | | | |
| 5. | Does the national standard require that the requirements for C-o-C process shall be implemented for the production group defined in compliance with chapters 5.1.2? | 5.1.2 | | |
| 6. | Does the national C-o-C standard require identification of origin of material/products entering the product group in compliance with chapter 5.2? | 5.2 | | |
| 7. | Does the national standard include requirements for the calculation of the certification percentage, which are compatible with the chapter 5.3? | 5.3 | | |
| 8. | Does the national standard include an average percentage method in compliance with chapter 5.4.1? | 5.4.1 | | |
| 9. | Does the national standard include a volume credit method in compliance with chapter 5.4.2? | 5.4.2 | | |
| 10. | Does the national C-o-C standard require | 5.5 | | |

| No. | Question | Reference to PEFC 2002:2010 | YES / NO* | Reference to application documents |
|---|--|-----------------------------|-----------|------------------------------------|
| | information delivered to customer at the point of sale of certified products in compliance with chapter 5.5? | | | |
| 11. | Does the national standard require that usage of the logo or label shall be carried out according to the terms and conditions of the logo / label copyright owner? | 5.5.2 | | |
| 12. | Does the national standard require a Due Diligence System (DDS) to ensure that the certified products do not include raw material from controversial sources? | 5.6; Appendix 2 | | |
| Minimum management system requirements | | | | |
| 13. | Does the national standard require management responsibilities for the organisation's management in compliance with chapter 6.2.1? | 6.2.1 | | |
| 14. | Does the national standard include requirements for responsibilities and authorities for C-o-C in compliance with chapter 6.3? | 6.3 | | |
| 15. | Does the national standard include requirements for documented procedures in compliance with chapter 6.3? | 6.3 | | |
| 16. | Does the national standard include requirements for record keeping in compliance with chapter 6.4? | 6.4 | | |
| 17. | Does the national standard include requirements for human resources management and technical facilities in compliance with chapter 6.5.1 and 6.5.2? | 6.5.1, 6.5.2 | | |
| 18. | Does the national standard include requirements for inspection and control in compliance with chapter 6.6? | 6.6 | | |
| 19. | Does the national standard include requirements for complaint resolution procedures in compliance with chapter 6.7? | 6.7 | | |
| 20. | Does the national standard include requirements for subcontracting in compliance with chapter 6.8? | 6.8 | | |
| Specification of the of the PEFC claim on "PEFC certified" material | | | | |
| 21. | Does the national standard include definition of certified raw material, neutral and other raw material (for the purposes of PEFC claims / labelling) in compliance with Appendix 1? | Appendix 1 | | |
| PEFC Due Diligence System (DDS) for avoidance of raw material from controversial sources | | | | |
| 22. | Is the scope of the DDS of the national standard in compliance with Appendix 2, chapter 1? | Appendix 2, 1 | | |
| 23. | Does the DDS of the national standard include requirements for self-declarations of suppliers in compliance with Appendix2, chapter 2? | Appendix 2, 2 | | |
| 24. | Does the DDS of the national standard include requirements for risk-assessment in compliance with Appendix2, chapter 3? | Appendix 2, 3 | | |
| 25. | Does the DDS of the national standard include requirements for management of high-risk | Appendix 2, 4 | | |

| No. | Question | Reference to PEFC 2002:2010 | YES / NO* | Reference to application documents |
|--|--|-----------------------------|-----------|------------------------------------|
| | supplies in compliance with Appendix2, chapter 3? | | | |
| Implementation of chain of custody by multisite organisations (only for standards which include rules for multisite or group certification) | | | | |
| 26. | Does the national standard define the multisite organisation in compliance with chapter 2 of Appendix 3? | Appendix 3, 2 | | |
| 27. | Does the national standard include general criteria for multi requirements in compliance with chapter 3.1 of Appendix 3? | Appendix 3, 3.1 | | |
| 28. | Does the national standard include requirements for function and responsibilities of the central office in compliance with chapter 3.2.1 of Appendix 3? | Appendix 3, 3.2.1 | | |
| 29. | Does the national standard include requirements for function and responsibilities of sites connected to a multisite organisation in compliance with chapter 3.2.2 of Appendix 3? | Appendix 3, 3.2.2 | | |
| Social, health and safety requirements in chain of custody | | | | |
| 30. | Does the national standard include social, health and safety requirements in compliance with chapter 2 of Appendix 4? | Appendix 4, 2 | | |

* If the answer to any question is no, the application documentation shall indicate for each element why and what alternative measures have been taken to address the element in question.

PART VI: MINIMUM REQUIREMENTS CHECKLIST FOR SCHEME SPECIFIC CHAIN OF CUSTODY STANDARDS – COMPLIANCE WITH ANNEX 4 OF PEFC TD

1 SCOPE

Part VI is used for the assessment of scheme specific chain of custody standards against Annex 4 of the PEFC Technical Document (*Chain of Custody of Forest Based Products - Requirements*)

On 16th November 2010 the PEFC General Assembly adopted PEFC ST 2002:2010 (*Chain of Custody of Forest Based Products - Requirements*) as revised PEFC Chain of Custody standard, replacing Annex 4 after a one year transition period until 16th November 2011.

Until 16th November 2011, scheme specific chain of custody standards may be assessed against either of the standards. After 16th November 2011, scheme specific chain of custody standards will only be assessed for compliance with PEFC ST 2002:2010 (Part V).

2 CHECKLIST

| No. | Question | Reference to PEFC Council PROCEDURES | YES / NO* | Reference to application documents |
|---|---|--------------------------------------|-----------|------------------------------------|
| Requirements for chain of custody process – physical separation method | | | | |
| 1. | Does the national C-o-C standard require identification and verification of the category of origin for all procured products in compliance with chapter 2.2.1 and 2.2.2? | Annex 4, 2.2.1, 2.2.2 | | |
| 2. | Does the national C-o-C standard require separation of the certified raw material in compliance with chapter 2.3? | Annex 4, 2.3 | | |
| 3. | Does the national C-o-C standard require information delivered to customer at the point of sale of certified products in compliance with chapter 2.4.1 and 2.4.2? | Annex 4, 2.4.1, 2.4.2 | | |
| 4. | Does the national standard require that usage of the logo or label shall be carried out according to the terms and conditions of the logo / label copyright owner? | Annex 4, 2.4.3 | | |
| Requirements for the chain of custody process – percentage based methods | | | | |
| 5. | Does the national standard require that the requirements for C-o-C process shall be implemented for the production batch defined in compliance with chapters 3.1.1 and 3.1.2? | Annex 4, 3.1.1, 3.1.2 | | |
| 6. | Does the national C-o-C standard require identification and verification of the category of origin for all procured products in compliance with chapter 3.2.1 and 3.2.2? | Annex 4, 3.2.1, 3.2.2 | | |
| 7. | Does the national standard include a calculation formula for the certification percentage, which is compatible with the formula of chapter 3.3? | Annex 4, 3.3 | | |

| No. | Question | Reference to PEFC Council PROCEDURES | YES / NO* | Reference to application documents |
|---|--|--------------------------------------|-----------|------------------------------------|
| 8. | Does the national standard include an average percentage method in compliance with chapter 3.4.1? | Annex 4, 3.4.1 | | |
| 9. | Does the national standard include a volume credit method in compliance with chapter 3.4.2? | Annex 4, 3.4.2 | | |
| 10. | Does the national C-o-C standard require information delivered to customer at the point of sale of certified products in compliance with chapter 3.5.1 and 3.5.2? | Annex 4, 3.5.1, 3.5.2 | | |
| 11. | Does the national standard require that usage of the logo or label shall be carried out according to the terms and conditions of the logo / label copyright owner? | Annex 4, 3.5.3 | | |
| 12. | Does the national standard include measures to ensure that the certified products do not include raw material from controversial sources in compliance with chapter 3.6 and Appendix 7 to Annex 4? | Annex 4, 3.6; Appendix 7 | | |
| Minimum management system requirements | | | | |
| 13. | Does the national standard require management responsibilities for the organisation's top management in compliance with chapter 4.2.1? | Annex 4, 4.2.1 | | |
| 14. | Does the national standard include requirements for responsibilities and authorities for C-o-C in compliance with chapter 4.2.2? | Annex 4, 4.2.2 | | |
| 15. | Does the national standard include requirements for documented procedures in compliance with chapter 4.3? | Annex 4, 4.3 | | |
| 16. | Does the national standard include requirements for record keeping in compliance with chapter 4.4? | Annex 4, 4.4 | | |
| 17. | Does the national standard include requirements for human resources management and technical facilities in compliance with chapter 4.5? | Annex 4, 4.5 | | |
| 18. | Does the national standard include requirements for inspection and control in compliance with chapter 4.6? | Annex 4, 4.6 | | |
| PEFC specification for the origin for the purposes of PEFC label and declaration | | | | |
| 19. | Does the national standard include definition of certified raw material, neutral and other raw material (for the purposes of PEFC claims / labelling) in compliance with Appendix 1? | Annex 4, Appendix 1 | | |

| No. | Question | Reference to PEFC Council PROCEDURES | YES / NO* | Reference to application documents |
|---|--|--------------------------------------|-----------|------------------------------------|
| Implementation of chain of custody in multi-site organisation (only for standards which include rules for multi-site or group certification) | | | | |
| 20. | Does the national standard include requirements for function and responsibilities of the central office in compliance with Appendix 4? | Annex 4, Appendix 4 | | |
| 21. | Does the national standard include requirements for function and responsibilities of the central office in compliance with Appendix 4? | Annex 4, Appendix 4 | | |

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|--|--|---------------------|--|--|
| PEFC specification of the origin for the purposes of PEFC label and declarations covering recycled raw material (only for standards which allow claims to be made on recycled raw material) | | | | |
| 22. | Does the national standard include definition of certified raw material, neutral and other raw material for certified and recycled raw material (for the purposes of PEFC claims / labelling) in compliance with Appendix 6? | Annex 4, Appendix 6 | | |
| PEFC specification of the origin for the purposes of PEFC label and declarations on non wood forest products (only for standards which are applicable to non wood forest products) | | | | |
| 23. | Does the national standard include definition of certified raw material, neutral and other raw material for non wood forest products (for the purposes of PEFC claims / labelling) in compliance with Appendix 8? | Annex 4, Appendix 8 | | |

* If the answer to any question is no, the application documentation shall indicate for each element why and what alternative measures have been taken to address the element in question.